IN THE UNITED STATES DISTRICT COURT FOR THE NORTHERN DISTRICT OF NEW YORK

SONIA ELISA E.,

Plaintiff,

٧.

Civil Action No. 3:19-CV-0476 (DEP)

ANDREW M. SAUL, Commissioner of Social Security,¹

Defendant.

<u>APPEARANCES</u>: <u>OF COUNSEL</u>:

FOR PLAINTIFF

LEGAL AID SOCIETY OF MID-NEW YORK 221 South Warren Street Suite 310 Syracuse, New York 13202 ELIZABETH V. KRUPER, ESQ.

FOR DEFENDANT

HON. GRANT C. JAQUITH United States Attorney P.O. Box 7198 100 S. Clinton Street Syracuse, NY 13261-7198 AMY BLAND, ESQ. Special Assistant U.S. Attorneys

Plaintiff's complaint named Nancy A. Berryhill, in her capacity as the Acting Commissioner of Social Security, as the defendant. On June 4, 2019, Andrew M. Saul took office as Social Security Commissioner. He has therefore been substituted as the named defendant in this matter pursuant to Rule 25(d)(1) of the Federal Rules of Civil Procedure, and no further action is required in order to effectuate this change. See 42 U.S.C. § 405(q).

DAVID E. PEEBLES U.S. MAGISTRATE JUDGE

ORDER

Currently pending before the court in this action, in which plaintiff seeks judicial review of an adverse administrative determination by the Commissioner of Social Security, pursuant to 42 U.S.C. §§ 405(g) and 1383(c)(3), are cross-motions for judgment on the pleadings.² Oral argument was heard in connection with those motions on July 1, 2020, during a telephone conference conducted on the record. At the close of argument, I issued a bench decision in which, after applying the requisite deferential review standard, I found that the Commissioner's determination resulted from the application of proper legal principles and is supported by substantial evidence, providing further detail regarding my reasoning and addressing the specific issues raised by the plaintiff in this appeal.

After due deliberation, and based upon the court's oral bench decision, which has been transcribed, is attached to this order, and is

² This matter, which is before me on consent of the parties pursuant to 28 U.S.C. § 636(c), has been treated in accordance with the procedures set forth in General Order No. 18. Under that General Order once issue has been joined, an action such as this is considered procedurally, as if cross-motions for judgment on the pleadings had been filed pursuant to Rule 12(c) of the Federal Rules of Civil Procedure.

incorporated herein by reference, it is hereby

ORDERED, as follows:

- Defendant's motion for judgment on the pleadings is GRANTED.
- 2) The Commissioner's determination that the plaintiff was not disabled at the relevant times, and thus is not entitled to benefits under the Social Security Act, is AFFIRMED.
- 3) The clerk is respectfully directed to enter judgment, based upon this determination, DISMISSING plaintiff's complaint in its entirety.

David E. Peebles

U.S. Magistrate Judge

Dated: July 8, 2020

Syracuse, NY

UNITED STATES DISTRICT COURT NORTHERN DISTRICT OF NEW YORK

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SONIA ELISA E.,

Plaintiff,

vs.

3:19-CV-476

ANDREW M. SAUL, COMMISSIONER OF SOCIAL SECURITY,

Defendant.

Transcript of a **Decision** held during a

Telephone Conference on July 1, 2020, the HONORABLE

DAVID E. PEEBLES, United States Magistrate Judge,

Presiding.

APPEARANCES

(By Telephone)

For Plaintiff:

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BY: ELIZABETH V. KRUPER, ESQ.

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BY: AMY BLAND, ESQ.

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1 (The Court and counsel present by telephone.)

THE COURT: Let me begin by thanking both counsel for excellent written and oral presentations, I have enjoyed working with both of you.

Plaintiff has commenced this proceeding pursuant to 42 United States Code Sections 405(g) and 1383(c)(3) to challenge a determination by the Commissioner of Social Security denying plaintiff's application for benefits and finding that she was not disabled at the relevant times.

The background is as follows: Plaintiff was born in September of 1975 and is currently 44 years of age. She was 40 years old at the time of the alleged onset of her disability on March 1, 2016. Plaintiff stands 5 foot 1 inch in height and weighs between 150 and 205 pounds at various points in the record. She has apparently undergone bariatric surgery. Plaintiff has a 12th grade education and attended regular classes while in school. She is right-handed. Plaintiff is separated. She has three children who are now approximately 14, 21, and 23 years of age. She also has a boyfriend who she met online. She has 50 percent custody of her youngest son. Plaintiff resides in an apartment in Norwich, New York. She has no driver's license and relies on friends, Catholic Charities, or A&D Cab for transportation, she does not use public transportation such as buses.

Plaintiff worked until November of 2015. She quit

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her position at the time after an issue with her manager. Over time, she has held various positions, including as a kennel worker, a worker in her Off-Track Betting facility, a cashier in various grocery and convenience store settings, and an assembler in a manufacturing facility. She lost a job in April of 2014 based on poor performance. Her longest period of employment was between 2002 and 2004 in the Polkville store. She did not work between 2005 and 2007 as a result of her pregnancy and giving birth to her son. She also did not work from 2010 to 2011 when she was self-medicating with alcohol.

Plaintiff has a significant history of sexual abuse and that and other stressors have caused her to suffer mental impairments that have been variously diagnosed including as OCD, or obsessive compulsive disorder, post-traumatic stress disorder, or PTSD, major depressive disorder, MDD, generalized anxiety disorder and bipolar disorder, borderline personality disorder, adjustment disorder with depressed mood, and alcohol abuse. She apparently has been abstinent since February of 2016.

Plaintiff has been hospitalized on several occasions including in the Bassett Medical Center emergency room in November 2015, Binghamton General Hospital in December 2015, again Binghamton General Hospital in February 2016, Conifer Park, she underwent treatment there in

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July of 2015, and New Horizons where she attended weekly sessions between March and September of 2016. In June of 2016, she apparently made plans to overdose. That is reflected in page 827 of the administrative transcript. Plaintiff has treated with psychiatrist Dr. Nickolas -- the records reflect that it might be T-o-q-l-a-s, we are going to refer to Dr. Nickolas Toglas as Togias because that is the way it appears in the administrative law judge's decision. She has treated with Dr. Togias since June of 2016 and sees him approximately every two months. She also treats with LCSW Mary Ann Rason who she sees weekly. She also attends weekly group sessions entitled Seeking Safety. Plaintiff is -- her general physical needs are taken care of by Physician's Assistant Erica Hill. She also at a time underwent treatment at Chenango Behavioral Health with another therapist, Kelly Hunter.

Plaintiff has been prescribed various medications over time, including Effexor, Seroquel, Synthroid, trazodone, Prozac, hydroxyzine, lithium, prazosin, Ravea, Estoril, Depakote, and Latuda.

In terms of activities of daily living, at various points in the record, including at 46 to 47 and 443, there is indication that she can dress, shower, groom, cook, she shops twice a week, she can do dishes, laundry, can vacuum, can sweep, dust, clean, watches television, enjoys writing, can

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go on social media and can FaceTime, visit friends. She has a relationship with a boyfriend of some length. She has expressed a desire to do volunteer work. She plays games with her son, she plays games on her phone, and in 2017 drove to and back from Florida.

Procedurally, plaintiff applied for Title II and Title XVI benefits under the Social Security Act on September 10, 2015. In that application, she alleged an onset date of October 1, 2011, that was subsequently amended to March 1, 2016. In support of her application, she claims disability based on PTSD, major depressive disorder, and generalized anxiety disorder. That appears at page 212 of the administrative transcript.

A hearing was conducted on April 16, 2018, by
Administrative Law Judge, or ALJ, Mary Leary to address
plaintiff's application for benefits. On July 13, 2018, ALJ
Leary issued an unfavorable decision. That became a final
determination of the agency on March 18, 2019, when the
Social Security Administration Appeals Council denied
plaintiff's request for review. This action was commenced on
April 23, 2019, and is timely.

In her decision, ALJ Leary applied the familiar five-step sequential test for determining disability. She first found that plaintiff is insured or was insured through June 30, 2018.

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At step one of the sequential analysis, she found that plaintiff had not engaged in substantial gainful activity since March 1, 2016.

At step two, ALJ Leary concluded that plaintiff does suffer from impairments that impose more than minimal limitations on her ability to perform basic work functions, including alcohol use, borderline personality disorder, adjustment disorder with depressed mood, major depressive disorder, PTSD, generalized anxiety disorder, bipolar disorder, and OCD or obsessive compulsive disorder.

At step three, ALJ Leary concluded that plaintiff's conditions do not meet or medically equal any of the listed presumptively disabling conditions set forth in the Commissioner's regulations, specifically considering Listings 12.04, 12.06, 12.08, and 12.15. She found in connection with those listings that neither the B nor the C criteria are met in this case.

After surveying the record, ALJ Leary concluded that plaintiff retains the residual functional capacity, or RFC, to perform work at all exertional levels with additional nonexertional limitations as follows: She can understand, remember, and carry out simple instructions consistent with routine unskilled work; she can perform simple decision making related to basic work functions; she can tolerate frequent minor changes within the workplace and she can

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tolerate occasional contact with coworkers and supervisors, but no contact with the general public, in an occupation where the individual can complete tasks relatively independently, and where social interaction is not a primary job requirement.

Applying that RFC at step four, Administrative Law Judge Leary concluded that plaintiff is incapable of performing her past relevant work, which was characterized as a sales clerk, a gambling cashier, and a food sales clerk, all of which were with an SVP of 3 — I'm sorry, gambling cashier is an SVP of 4. Sales clerk is in the light category, gambling cashier is sedentary, food sales clerk is light according to the vocational expert.

At step five, the administrative law judge concluded based on the testimony of the vocational expert that plaintiff, notwithstanding her impairments, is capable of performing available work in the national economy, and three example positions were cited, including as a stubber, as a spiral binder, and as an automotive detailer, and therefore concluded that plaintiff was not disabled at the relevant times.

As you know, my function is limited, the standard that I must apply is extremely deferential. I must determine whether correct legal principles were applied, and the resulting determination is supported by substantial evidence.

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Substantial evidence, of course, is defined as such relevant evidence as a reasonable mind might accept as adequate to support a conclusion. As the Second Circuit noted in Brault v. Social Security Administration, 683 F.3d 443 from 2012, the standard to be applied is a rigorous standard. It is far more rigid than the clearly erroneous standard that we are all familiar with. The Second Circuit also noted that with the substantial evidence standard in place, that means once an ALJ finds facts, they can be rejected only if a reasonable fact finder would have to conclude otherwise.

In this case, plaintiff has raised essentially two contentions in support of her challenge to the determination. She challenges the weight of medical evidence afforded by the administrative law judge to the various opinions in the record centering upon the records of treating source

Dr. Togias, which is also cosigned by Therapist Rason. She also challenges the administrative law judge's evaluation of her subjective complaints of symptomology.

The task of the administrative law judge begins with formulating the plaintiff's RFC. A claimant's RFC represents a finding of the range of tasks she is capable of performing notwithstanding the impairments at issue. An RFC determination is informed by consideration of all relevant medical and other evidence. When assessing a claimant's RFC, the ALJ must analyze exertional capabilities, which includes

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such things as the ability to sit, stand, walk, lift, carry, push and pull, as well as nonexertional limitations or impairments, which include of course the mental impairments of the type that are now at issue. And of course the RFC determination must be supported by substantial evidence in order for the resulting determination to be upheld.

The focus of this case is of course on the medical records in evidence, and there are four of those in this The first was cosigned by Dr. Togias and Therapist It was given on February 27, 2018 and appears at pages 869 to 871 of the record. In that medical source statement, plaintiff was found to have marked limitations in carrying out detailed instructions, marked limitations in the ability to make judgments on simple work-related decisions. She was found to have marked limitations in the areas of interacting appropriately with the public and interacting appropriately with supervisors, including accepting instructions and criticism from them, as well as marked limitations in responding appropriately to stress, work pressures in the usual work setting, and responding appropriately to changes in a routine work setting. She was also found to experience marked limitations in the ability to perform activities within a schedule, maintain regular attendance and be punctual within customary tolerances, and in the ability to complete a normal workday and workweek

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without interruptions from psychologically-based symptoms and to perform at a consistent pace without an unreasonable number and length of rest periods. That opinion was assigned little weight by the administrative law judge.

A second was from LCSW-R Kelly Hunter given on March 10, 2016 and appearing at pages 447 to 449 of the administrative transcript. In that statement, Therapist Hunter indicates that plaintiff is very limited in the following areas: Maintain attention/concentration, interact appropriately with others, maintain socially appropriate behavior without exhibiting behavior extremes, maintain basic standards of personal hygiene and grooming, and appears to be — appears able to function in a work setting at a consistent page.

The next opinion is given by Dr. Sara Long, it was dated April 12, 2016. Dr. Long, a psychiatrist, examined the plaintiff on that date, and her report appears at pages 441 to 445 of the administrative transcript. Based upon her examination, Dr. Long issued the following medical source statement: "No limitations were observed regarding following and understanding simple directions and performing simple tasks. She was able to maintain attention and concentration and is able to maintain a regular schedule. Generally, she is able to learn new tasks, perform complex tasks, make appropriate decisions, relate adequately with others, and is

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capable of adequate stress management. Ms. E. presents with significant history of sexual abuse, experiencing quilt regarding the other children involved. She states she has reported those problems to therapists in the past and not -and told not to pursue it. It was today discussed with Ms. E. that the concern is that this individual not be a current risk to other children. She might discuss with her therapist the option of making a police report and leaving it to their judgment as to whether they want to confirm that this person is not a current risk and reporting it to the authorities would relieve her of having to carry any feelings of responsibility as then it would be the judgment by the third party as to whether it should be pursued." She went on to state that the results of the present evaluation appear to be consistent with psychiatric and history of substance abuse problems which may interfere with her ability to function on a regular basis. The last opinion of record is from Dr. T.

The last opinion of record is from Dr. T.

Inman-Dundon, a state agency consultant. It appears a couple places in the record as part of the Exhibit 3A and Exhibit 4A. In his opinion, Dr. Inman-Dundon found that plaintiff was moderately limited in some areas including as follows: The ability to perform activities within a schedule, maintain regular attendance and be punctual within customary tolerances, the ability to complete a normal

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workday and workweek without interruptions from psychologically-based symptoms and to perform at a consistent pace without an unreasonable number and length of rest periods. Also found moderately limited in the ability to accept instructions and respond appropriately to criticisms from supervisors, and the ability to get along with coworkers or peers without distracting them or exhibiting behavioral extremes. She was rated as moderately limited also in the ability to respond appropriately to changes in the work setting, the ability to be aware of normal hazards and take appropriate precautions, and the ability to set realistic goals or make plans independently of others. There were not any more serious limitations discerned by Dr. Inman-Dundon.

In Dr. Inman-Dundon's mental RFC opinion at page 87, he concludes as follows: It appears that claimant experienced psychiatric decompensation in the context of alcohol abuse. Currently claimant is abstinent, and appears to be able to sustain simple tasks. Claimant can perform the basic demands of unskilled work.

The -- as I said earlier, Dr. Togias and Therapist
Rason's opinions were given little weight. Therapist
Hunter's opinions were given little weight. Dr. Long's
opinion was given significant weight, and Dr. Inman-Dundon's
opinion was given great weight, and that is from May of 2016.

The focus of plaintiff's argument concerning these

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opinions is on those of Dr. Togias. Dr. Togias obviously qualifies as a treating source. Ordinarily the opinion of a treating physician regarding the nature and severity of an impairment is entitled to considerable deference provided it is supported by medically acceptable clinical and laboratory diagnostic techniques and not inconsistent with other substantial evidence. If controlling weight is not given to a treating source's opinion, the administrative law judge must apply several factors to determine what degree of weight should be assigned to the opinion. By regulations, those factors include the length of the treatment relationship and the frequency of examination, the nature and extent of the treatment relationship, the evidence supporting the treating provider's opinion, the degree of consistency between the opinion and the record as a whole, whether the opinion is given by a specialist, and other evidence that has been brought to the attention of the administrative law judge. 20 C.F.R. Section 404.1527 and 404 -- 416.927. And of course when a treating source's opinions are repudiated, the ALJ must provide reasons for the rejection and those reasons must be supported by substantial evidence.

In this case, the reasons given for not accepting Dr. Togias' opinions stem from the determination by the administrative law judge that they were not consistent with the treatment notes from both Dr. Togias and Therapist Rason

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as well as plaintiff's activities of daily living. It was also noted — it also is noted that being a check—the—box form, sometimes those opinions of check—the—box forms are given less weight, although there is some narrative in this case.

The opinions of Dr. Togias are also inconsistent with those of Dr. Inman-Dundon and Dr. Long. As I indicated during the oral argument, I recognize the importance of a treating source and the longitudinal knowledge and history that can be provided by a treating source, particularly in a mental health case. The -- in this case, when I look to what's known as the Burgess factors, certain of those factors have been discussed by Administrative Law Judge Leary. Reference is made to Dr. Togias and his specialty as a psychiatrist. Reference is made to the treatment notes. There is no reference to the length of treatment and frequency, but there is reference to the consistency of the opinion with other medical evidence, and the amount of evidence supporting the opinions.

The -- I have reviewed carefully the treatment notes that appear in the record, including those at Exhibit 10F from Physician's Assistant Erica Hall, and 11F and continuing on, from Dr. Togias and Social Worker Rason, and there was another social worker also in there, Karen Grosso. And it -- as the administrative law judge noted,

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those treatment records, although they do show some hot spots, they do, for the most part, show a fairly benign psychological and psychiatric status as the administrative law judge noted at page 21. Many, many of the treatment notes indicate that plaintiff was well-kempt, cooperative, open and talkative, calm, good eye contact, stable mood, euthymic mood, appropriate affect, normal speech, linear thought process, no delusions elicited, intact judgment, good insight, denied any perceptual disturbances, and although there is indication of suicidal ideation or even attempts at times, most of the reports from those physicians of the treating sources indicate no suicidal or homicidal ideation.

The -- Dr. Long and Dr. Inman-Dundon's opinions are both contrary to the opinions of Dr. Togias. A careful review of the notes indicate that while plaintiff's condition was somewhat cyclical, there was not a significant deterioration after those individuals gave their opinions that would require revisiting or minimize the impact of those opinions.

So in summary, I don't find that the treating source rule was violated. I think essentially the *Burgess* factors, the regulatory factors were considered, but even if they were not, as *Estrella* teaches, if the court, after a searching review of the record, finds that the treating source rule was not violated, then the error is harmless and

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remand is not required. That is based on Estrella v.

Berryhill, 925 F.3d 90 from 2019 Second Circuit. In this court one of my colleagues recognized similarly in Reed v.

Commissioner of Social Security, it is 5:16-CV-1134, found at 2018 WL 1183382 from the Northern District of New York,

March 6, 2018. It was also noted in Reed by Magistrate Judge Carter that it is appropriate to rely on sources such as Dr. Long, Dr. Inman-Dundon, and those opinions can provide substantial evidence sufficient to overcome a treating source opinion.

So I conclude, based on all of my review of the record, the opinions of those sources, treatment notes of PA Hill, Dr. Togias, and Rason, Therapist Rason, that no reasonable — a reasonable fact finder would not have to conclude that the treating source opinions should be accepted, and so I — and I note that this case is not similar to Estrella. Estrella involved a very different situation where the administrative law judge cherrypicked two positive treatment notes, and in light of those and GAF scores and consultative examiner in the face of treatment notes that showed a very different situation for that plaintiff. So in conclusion I find plaintiff failed to show that no reasonable fact finder could have reached the administrative law judge's conclusions concerning the treating source issue.

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The second issue raised by the plaintiff concerns the treatment of plaintiff's subjective complaints.

Obviously an ALJ must take into account plaintiff's subjective complaints in rendering the five-step disability analysis. 20 C.F.R. Sections 404.1529 and 416.929. However, when examining the question, the ALJ is not required to blindly accept the subjective testimony of a complainant -- a claimant, and rather, retains discretion to weigh the credibility in light of other evidence in the record.

The regulations and the case law provide a two-step analysis to be made when reviewing credibility which is governed by SSR 16-3p. When assessing credibility and a plaintiff's subjective symptomology, an ALJ must consider certain relevant factors including the claimant's daily activities, the location, duration, frequency, and intensity of any symptoms, any precipitating and aggravating factors, the type, dosage, effectiveness and side effects of any medication taken and other treatment received as well as other measures taken to relieve the symptoms. There are other factors as well.

In this case, the administrative law judge recounted plaintiff's claims at page 18 and concluded that, after careful consideration of the evidence, the undersigned, ALJ Leary, finds that the claimant's medically determinable impairments could reasonably be expected to cause the alleged

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However, the claimant's statements concerning the intensity, persistence, and limiting effects of the symptoms are not entirely consistent with the medical evidence and other evidence in the record for the reasons explained in this decision. If the administrative law judge had stopped there, the case law is clear that that would be insufficient to provide meaningful judicial review of the ALJ's thinking. The ALJ, however, went on to discuss treatment notes, the conservative treatment undergone by the plaintiff, her activities of daily living, and the medical evidence in the record. At page 20, ALJ Leary summarizes, "Overall, the evidence in the record consists primarily of documentation of the claimant's subjective complaints with little in the way of objective findings to support functional limitations of the severity the claimant has alleged. The claimant received far less treatment than one would expect of someone experiencing pain and limitation of the severity she has reported. Considering the objective evidence in light of the claimant's self-described activities of daily living, the record as a whole, and the consistency of claimant's statements and testimony, the undersigned finds the claimant can perform work within the limitations described in the residual functional capacity assessment set forth herein." Having reviewed carefully the decision, I find that the SSR 16-3p has been followed and that the explanation

given for rejecting plaintiff's claims of symptomology afford 1 2 the court a basis for meaningful judicial review. I find 3 that the plaintiff has not demonstrated that no reasonable fact finder could reach the same conclusion that the ALJ 4 5 reached when considering plaintiff's symptomology. In summary, I find that correct legal principles 6 7 were applied, and the resulting determination is supported by substantial evidence. I will therefore grant judgment on the 8 9 pleadings to the defendant and direct dismissal of 10 plaintiff's complaint. 11 Thank you both again, I hope you stay safe in these 12 interesting times. 13 MS. KRUPER: Thank you. 14 MS. BLAND: Thank you, your Honor, everyone stay 15 safe. 16 (Proceedings Adjourned, 2:52 p.m.) 17 18 19 20 21 2.2 23 24 2.5

1 CERTIFICATE OF OFFICIAL REPORTER 2 3 I, JODI L. HIBBARD, RPR, CRR, CSR, Federal 4 5 Official Realtime Court Reporter, in and for the United States District Court for the Northern 6 7 District of New York, DO HEREBY CERTIFY that pursuant to Section 753, Title 28, United States 8 9 Code, that the foregoing is a true and correct 10 transcript of the stenographically reported proceedings held in the above-entitled matter and 11 12 that the transcript page format is in conformance with the regulations of the Judicial Conference of 13 14 the United States. 15 16 Dated this 6th day of July, 2020. 17 18 19 /S/ JODI L. HIBBARD 20 JODI L. HIBBARD, RPR, CRR, CSR Official U.S. Court Reporter 21 2.2 23 24 2.5